

MWA POLICY
on
ARS-115 REQUEST TO SUBMIT MANUSCRIPT FOR PUBLICATION

- **Full** responsibility for manuscript quality has been delegated to the Research Leader.
- **Research Leader** will be responsible for the proper preparation and review of manuscripts that are authored by scientists in his/her unit.
- **Oversight** may be done by the RL or it may be delegated to a scientist in the unit with skills in research design and manuscript preparation.
- **Level of review** prior to submission to a refereed journal will be at the discretion of the RL.
- **ARS-533s** will be eliminated except in unusual cases when it is deemed necessary by the RL. If ARS-533s are required, the regulations have been waived that required the peer reviewers be located outside the author's (or authors') research unit.
- **When** the Research Leader's electronic signature is entered on the ARS-115 in ARIS, for all submissions OTHER THAN THOSE DEEMED SENSITIVE, this constitutes approval for the manuscript to be submitted for publication.
- **Submissions** regarding Sensitive Issues must have Area Director approval to be submitted for publication.
- **Area Director's** electronic signature entered on the ARS-115 in ARIS indicates approval for publication to be used in scientist performance appraisal packages.
- **Area Office** will review the ARS-115 Interpretive Summary and Technical Abstract fields before electronically signing.

Impact Reporting

What is impact? Impact is the difference research makes in people's lives. In more technical terms, impact is the reportable and verifiable difference a program makes in the lives of citizens.

Impact reporting lets the scientist:

- Provide public accountability
- Provide program accountability
- Show a return on an investment
- Foster a better public understanding of the entire picture of research
- Obtain future funding
- Increase awareness of all programs within our Agency

An impact statement is a brief summary, in lay terms, of the economic, environmental and/or social impact of research efforts. It states accomplishments and their benefit to society. An impact statement answers the questions, "So what?" and "Who cares?" "Why?"

The impact audience may be:

- The general public
- Local governing bodies
- State officials
- Federal officials
- Scientific peers
- External funding sources
- Industry representatives

The audience may:

- Exercise some kind of control over research programs
- Want information vital to decisions
- Have lots of competition for their attention
- Want quantifiable differences brought about by investments in research programs

The audience may expect change in at least one of the following areas:

- Societal/individual well-being
- Environmental quality
- Economic value of efficiency

In addition, potential impact should be considered, especially in basic research, when impact is hard to define in quantitative terms. Include the following information in impact statements:

- The most likely benefactors of the research
- Expected outcome and why
- An idea of how long it will take to reach expected outcomes
- Real or hypothetical examples of expected outcomes

To develop a quality Impact Statement, include:

- Impact area (audience, customers)
- Issues (research problem or area)
- What has been done (result: quantifiable facts or future expected outcome)
- Impact (use: social, environmental, economic)

Target the impact statement to whomever (everyone?) you want to understand that activity.

Grading Impact Statements:

- A = High Impact Value (Social, Environmental, Economic)
- B = Moderate Impact Value (Nice to know information)
- C = Low Impact Value (Nothing to show)
- D = No Impact Value (So what?)

MWA GUIDE INDEX
for
ARS-115 REQUEST TO SUBMIT MANUSCRIPT FOR PUBLICATION
Supplement to ARIS On-Line Manual
Chapter 5

LIST OF SENSITIVE ISSUES FOR ARS MANUSCRIPT REVIEW

UNIT AFFILIATION

DISCLAIMER

INTERPRETIVE SUMMARY GUIDELINES

PEER REVIEW

SENSITIVE DESIGNATION

PATENTABLE INFORMATION

AUTHORSHIP INVOLVING MORE THAN ONE AREA OR RESEARCH UNIT

TECHNICIAN AUTHORSHIP OF SCIENTIFIC PUBLICATIONS

COPYRIGHT

NON-DISCRIMINATION STATEMENT

MATRIX

PERSONNEL PICKS

JOURNAL OR EQUIVALENT

JOURNAL ACCEPTANCE DATE

INTERPRETIVE SUMMARY AND TECHNICAL ABSTRACT

USING SYMBOLS IN THE ARS-115

DETAIL BY AUTHOR REPORT

UNIT AFFILIATION ON MANUSCRIPT

Author affiliation on the manuscript must include all of the following:

- (a) Unit or Laboratory Name
- (b) Center Name (if applicable)
- (c) USDA, Agricultural Research Service
- (d) University Department Name and University Name (if applicable)
- (e) City, State, Zip Code

DISCLAIMER ON MANUSCRIPT

When proprietary or brand names are used, add one of the following disclaimers to the manuscript before submission:

"Mention of trade names or commercial products in this [article] [publication] is solely for the purpose of providing specific information and does not imply recommendation or endorsement by the U.S. Department of Agriculture."

"Names are necessary to factually report on available data; however, the USDA neither guarantees nor warrants the standard of the product, and the use of the name by USDA implies no approval of the product to the exclusion of others that may also be suitable."

INTERPRETIVE SUMMARY GUIDELINES

Interpretive Summaries are critical to the ARS-115 program, and should be written to relate the meaning or value of the research in terms understandable to the general public. The Agency uses them for decision making about resource allocations, budget development, program planning, technology transfer, and communication with Congressional and Executive Branch policymakers. An Interpretive Summary should include:

1. A background statement explaining the problem.
2. A description of what was found, not what was done.
3. A statement stating why the results are important to the producer, consumer, industry, or other user.

Explain in terms that won't require a dictionary for your neighbor to understand. Don't use Latin names, jargon or scientific terms, and summarize the results in words, not data.

PEER REVIEW

The Peer Review process for manuscripts is waived. However, the process can be utilized if the Research Leader feels the manuscript would benefit. If the Peer Review process is waived, select "W" in the "Manuscript Peer Reviewed" field of the ARS-115.

SENSITIVE DESIGNATION

A list of SENSITIVE subject matter issues is in the Guide. This list applies to all Publication Types listed in the MATRIX. The RL must note, with the signature, "Yes" or "No" whether the ARS-115 should be considered sensitive in subject matter, and each succeeding level of approval must also note, with the signature, a determination on sensitive material. Each level has the individual option of determination, and may or may not, nor has to, agree with the preceding decision. An ARS-115 marked "Yes" for "sensitive" moves to NPS for a final review. If NPS designates the ARS-115 as "sensitive, it does not go into TEKTRAN. The "sensitive" designation serves to notify the AD and NPS of research in these important areas.

Delay the submission of research findings to the journal or meeting until the ARS-115 marked "sensitive" is approved in ARIS by NPS. Rarely are manuscript approvals substantially delayed by this process.

PATENTABLE INFORMATION

If information is being published or presented that has patentable information, the ARS-115 block "Due to patent potential, is retention of intellectual property rights desired?" is to be marked "YES". If "YES," upon completion of the approval process (RL-CD-AD-NPS-ADA-OCI-Patent Advisor), the ARS-115 will move to "ACTIVE" status in ARIS. The ARS-115 will be held in the ARS "ACTIVE" database during the review process by the Patent Advisor. While in the ARS "ACTIVE" database, the publication may be viewed by anyone in ARS. The publication will be moved to TEKTRAN either after a patent has been filed or a determination made that no patent will be filed. At that time, the publication may be viewed by anyone with access to TEKTRAN.

A patent application submitted during a current Performance Appraisal Period or an ARS-115 with patentable information which does not appear in the ARS "ACTIVE" database at the end of the Performance Appraisal rating period may be included in the Detail by Author Report by the Research Leader penciling it in.

"Z" - "Patent Application" PUBLICATION TYPE may be used to update the ARS-115 database when a patent application has been granted a #.

AUTHORSHIP INVOLVING MORE THAN ONE AREA OR RESEARCH UNIT

The approval process should be initiated by the most SENIOR ARS author and the ARS-115 initiated electronically by the Research Unit of the CRIS Project, predetermined by the authors. The ARS-115 and enclosures should go FIRST to the RL(s) of the OTHER ARS author(s) for signature and LAST through the SENIOR author's RL, CD. This is also the time to obtain clearance by any cooperative agencies and/or institutions.

TECHNICIAN AUTHORSHIP OF SCIENTIFIC PUBLICATIONS

It is only under exceptional circumstances that the contributions of a technician will serve to warrant JUNIOR authorship of a publication. This

decision has been delegated to the Research Leader, who will follow P&P 152.2, "Authorship of Research and Technical Reports and Publications," dated May 12, 1997, and provide justification for the decision if requested.

Senior authorship by anyone other than a Category 1 2 or 4 scientist will need prior approval by the Area Director. See P&P 152.2.

COPYRIGHT

An ARS employee has no right of copyright for published material. Per Copyright Law, Government products cannot be copyrighted, and articles written by a Federal employee as part of his/her official duties are Government products and, as such, can be freely copied by the public.

In responding to a publisher's request to sign a transfer of copyright, the ARS employee should return the form unsigned with the following statement:

"The article cited was prepared by a USDA employee as part of his/her official duties and cannot legally be copyrighted. The fact that the private publication in which the article appears is itself copyrighted does not affect the material of the U.S. Government, which can be reproduced by the public at will."

NON-DISCRIMINATION STATEMENT

Any document that requires approval from the Information Staff prior to publication and will be distributed outside ARS will need the following Non-Discrimination Statement:

"All programs and services of the U.S. Department of Agriculture are offered on a nondiscriminatory basis without regard to race, color, national origin, religion, sex, age, marital status, or handicap."

MATRIX

TYPE	JOURNAL OR EQUIVALENT	ABS. ONLY *	FIRST FORMAL REPORT **	INTER. SUMM.	TECH. ABS.	PEER REVIEW
J	Peer Reviewed Journal	No	Yes	Yes	Yes	Waived
G	Germplasm Release	No	Yes	Yes***	Yes	No
A	Abstract	Yes	No	No	Yes	No
P	Proceedings/Symposium	Yes	No**	No	Yes	Waived
B	Book/Chapter	Yes	No**	No	Yes	Waived
R	Review Article	Yes	No	No	Yes	Waived
X	Other	Yes	No**	No	Yes	No
N	Research Notes	Yes	No	No	Yes	Waived
L	Literature Review	Yes	No	No	Yes	No
V	Government Publication	Yes	No**	No	Yes	Waived
T	Trade Journal	Yes	No	No	Yes	Waived
M	Monograph	Yes	No**	No	Yes	Waived
E	Experiment Station	Yes	No**	No	Yes	Waived
O	Popular Publication	Yes	No	No	Yes	Waived
Z	Patent Application	Yes	No	No	Yes	No

* If the publication is an "Abstract Only," mark that block on the ARS-115 "YES" and the "First Formal Report Other than Abstract," "NO."

** If the publication is a "First Formal Report Other than Abstract," mark that block on the ARS-115 "YES" and the "Abstract Only," "NO" and an "INTERPRETIVE SUMMARY" is required.

The ARS-115 "Abstract Only" and "First Formal Report Other than Abstract" blocks cannot both be marked "YES" or both "NO".

*** Germplasm Release is considered "First Formal Report", however, an Interpretive Summary need not be written. Enter statement such as, "This is a Germplasm Release, no Interpretive Summary Required."

PERSONNEL PICKS

ARS Submitter, Contact Scientist and Author names are selected from the Personnel file that's kept by National Finance Center (NFC) in New Orleans, and entered into ARIS by the HQS computer staff weekly; anytime a personnel change occurs it takes a period of time to get processed by NFC and then another period of time to get the change into ARIS.

A personnel action to change the Personnel file at NFC should be initiated if the scientist prefers the name to appear differently than what shows when selected.

After selecting Author(s) from within the MU, Authors from other MUs or non-ARS Authors may be added. Author entries may be modified or deleted.

JOURNAL OR EQUIVALENT

The Journal or Equivalent is selected from a constantly changing Journal Table.

Only people at the Area or HQS level can be add to, delete from or modify the Journal Table.

If the journal isn't found, an Email message should be sent to the Program Analyst to enter the journal name needed.

The journal name should be the name of the publication in which the research will be published. The Journal Table will be accurate only if the correct name is entered, so if the scientist will provide the correct name each time an ARS-115 entry is needed, it will help ensure accuracy. If an incorrect name is found, please contact the Program Analyst, who will modify or delete it.

JOURNAL ACCEPTANCE DATE

The Journal Acceptance Date field is to be modified as soon as the scientist receives notification of acceptance of submission, a publication date or the URL for the journal in which the manuscript is published to add.

A Journal Acceptance Date is to be added to the appropriate ARS-115 from the Active ARIS database. Creating a Work Record to send through the various approval levels is not necessary.

INTERPRETIVE SUMMARY AND TECHNICAL ABSTRACT

Prepare the Interpretive Summary or Technical Abstract offline in word processing software. Copy and paste to the appropriate Interpretive Summary and/or Technical Abstract fields in the ARS-115.

USING SYMBOLS IN THE ARS-115

ARIS does not allow the use of Scientific Notations (symbols).

DETAIL BY AUTHOR REPORT

December 13 is the cutoff date for ARS-115 entry and submittal to the Area.

December 31 is the cutoff date for publications to be included in the documentation for current Performance Appraisals.

A copy of the Detail by Author Report is to be included with all Performance Appraisal documentation.

ARS-115s are maintained 3 full years in ARIS and then archived.